

Attorney's Docket No. 250/002

#3

Applicant or Patentee: Kodeda, H. et al

Serial or Patent No. : 09/510,666

Filed or Issued: February 22, 2000

For: AN OPTICAL ELEMENT HOLDING AND EXTRACTION DEVICE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) AND 1.27(c)) – SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
- ☒ an official of the small business concern empowered to act on behalf of the concern identified below:

business concern name and address: TuiLaser AG, Lochhamer Schlag 19, 82166 Graefelfing, Germany

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-part or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled

AN OPTICAL ELEMENT HOLDING AND EXTRACTION DEVICE

by inventor(s) Hans Kodeda and Helmut Frowein

described in

- ☐ the specification filed herewith
- ☒ the application serial no. 09/510,666, filed February 22, 2000.
- ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

NAME \_\_\_\_\_

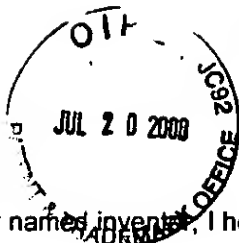
ADDRESS \_\_\_\_\_

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Johannes JungerTITLE OF PERSON SIGNING CEOADDRESS OF PERSON SIGNING Lochamer Schlag 19, 82166 Graefelfing, GermanySIGNATURE  DATE \_\_\_\_\_



**DECLARATION  
Utility Application**

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As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **AN OPTICAL ELEMENT HOLDING AND EXTRACTION DEVICE** the specification of which

(Check One)

☐  
☒

is attached hereto OR  
was filed on February 22, 2000 as United States Application Serial No. 09/510,666 or PCT International Application No. \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

Application Number(s)	Filing Date

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name Hans	MIDDLE Initial	LAST Name Kodeda	
	RESIDENCE & CITIZENSHIP	City Landshut	State or Foreign Country Germany	Country of Citizenship Germany	
	POST OFFICE ADDRESS	Veichtederpointweg 27	City Landshut	State or Country Germany	Zip Code 84036
INVENTOR'S SIGNATURE			<u>Hans Kodeda</u>		DATE <u>24.6.00</u>

202	FULL NAME OF INVENTOR	FIRST Name Helmut	MIDDLE Initial	LAST Name Frowein	
	RESIDENCE & CITIZENSHIP	City Munich	State or Foreign Country Germany	Country of Citizenship Germany	
	POST OFFICE ADDRESS	Bierbaumstr. 1a	City Munich	State or Country Germany	Zip Code 81243
INVENTOR'S SIGNATURE			<u>Helmut Frowein</u>		DATE <u>24.6.00</u>

203	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE			DATE		

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE			DATE		

205	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE			DATE		

POWER OF ATTORNEY  
By Assignee

TuiLaser AG, assignee(s) of the application for United States Letters Patent for an improvement in  
AN OPTICAL ELEMENT HOLDING AND EXTRACTION DEVICE  
by Kodeda, H. et al.

the specification of which:

- ☐ is filed herewith, OR  
☒ was filed on February 22, 2000, having U.S. Patent Application Serial No. 09/510,666,

does hereby appoint as my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application and transact all business in the United States Patent and Trademark Office, and in countries other than the United States, and to do all things necessary or appropriate therefor before any competent International Authorities in connection with any international patent application(s) corresponding to the above-identified application, all of the registered practitioners identified by Customer Number 22249:



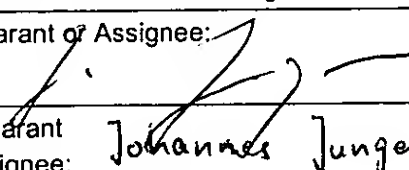
LYON & LYON LLP  
Suite 4700  
633 W. Fifth Street  
Los Angeles, CA 90071  
(213) 489-1600

Please send all correspondence to the attention of David A. Randall, at the above Customer Number, and direct all telephone calls to 213-489-1600.

I, the undersigned, declare that I have reviewed copies of the documentary evidence establishing chain of title to the patent application identified above from the inventor(s) to the assignee(s), which:

- ☒ is filed for recordation herewith; or  
☐ was recorded at Reel \_\_\_\_\_, Frame \_\_\_\_\_; or  
☐ has been sent for recordation under separate cover, copy attached herewith.

To the best of the undersigned's knowledge and belief, title is in the assignee(s) identified above. Furthermore, the undersigned is empowered to sign this document on behalf of the assignee(s).

Full Name of Assignee: TuiLaser AG	
Post Office Address: Lochhamer Schlag 19, 82166 Graefelfing, Germany	
Signature of Declarant or Assignee: 	Date: 26. 06. 00.
Full Name of Declarant If Other Than Assignee: Johannes Junger	
Title of Declarant: CEO	
Address of Declarant: Lochhamer Schlag 19, 82166 Graefelfing, Germany	